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ABSTRACT

To help relate management ideas and knowledge to educational administration, the author reviews the major theories and findings from the last 20 years on managerial leadership and discusses their relevance for school principals. He first summarizes findings from three approaches: the traits approach, emphasizing managerial motivation and skills; the power/influence approach, examining power accumulation and exercise; and the behavior approach, focusing on managerial activities and 22 behavior categories. Situational theories of leadership, according to the author, relate the three approaches to one another and to aspects of the leadership situation. Nine situational theories are reviewed, including Fiedler's contingency model, Hersey and Blanchard's maturity and task/relationship behavior theory, House's path-goal and charismatic leadership theories, Yukl's multiple linkage model, Kerr and Jermier's substitutes-for-leadership theory, Osborn and Hunt's adaptive-reactive model, Stewart's role requirements and constraints ideas, and Vroom and Yetten's normative model of participation. The author discusses the implications of the trait, power, and behavior approaches, and of some of the situational theories (especially Kerr and Jermier's, Osborn and Hunt's, Stewart's, House's path-goal, and Yukl's), for principals themselves as well as for research on principals and principal training and selection. (RW)

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MANAGERIAL LEADERSHIP AND THE EFFECTIVE PRINCIPAL

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Introduction

The fields of management and educational administration share an interest in discovering the reasons for effective leadership. The process of directing and influencing subordinates is important whether the leader is a manager in a business corporation or the principal of a public school. Leadership effectiveness for managers has been the subject of extensive research over the last several decades (see Bass, 1981; Yukl, 1981). Leadership effectiveness studies on school principals and other educational administrators are less numerous, but some of these studies have been of the highest quality. In the past, there has not been nearly enough cross-fertilization between the two academic disciplines to share insights, compare findings, and develop integrative models encompassing both kinds of leaders.

The purpose of the present paper is to contribute to cross-fertilization of ideas and knowledge between management and educational administration on the subject of leadership effectiveness. The approach used to pursue this objective will be to review major theories and research findings on managerial leadership during the last two decades and then to discuss how these theories and findings are relevant for principals of primary and secondary schools.

Overview of Research on Leadership Effectiveness

Conceptions of leadership effectiveness differ from writer to writer. One major distinction between different definitions of effectiveness is the type of consequence or outcome used to determine how successful a leader is. These outcomes include such diverse things as group performance, attainment of group objectives, group survival, group preparedness, group capacity to deal with crises, subordinate satisfaction with the leader, subordinate commitment to group objectives, the psychological well-being and personal growth of followers, and the leader's retention of his or her position of authority in the group. The leader effectiveness measures used most often are the extent to which the leader's group or organizational unit performs its task and attains its objectives.

Leadership effectiveness has been studied in different ways, depending on the researcher's conception of leadership, definition of effectiveness, and methodological preferences. Most studies deal with only one narrow aspect of leadership at a time. The many hundreds of studies appear to fall into a few distinct approaches. The "trait approach" emphasizes the personal qualities of leaders and seeks to identify the traits and skills that contribute to leadership success. The "power-influence approach" attempts to explain leader effectiveness in terms of the source and amount of power possessed by a leader and the manner in which he or she exercises it. The "behavior approach" attempts to identify the pattern of behaviors and/or activities that are characteristic of effective leaders. Situational theories cut across the three major approaches and emphasize how aspects of the leadership situation determine what traits, power, or behaviors are essential for leadership effectiveness. Findings from the trait, power, and behavior approaches will be summarized briefly, then the major situational theories will be reviewed. The relevance of this research and theory for school principals will be discussed in the final section of the paper.

Traits and Skills of Effective Leaders

One of the earliest approaches for studying leadership was the trait approach. Underlying this approach was the assumption that certain traits and skills are essential for leadership effectiveness. Hundreds of studies were conducted to look for trait differences between leaders and followers and between effective and ineffective leaders. Stogdill (1948) reviewed the results from 124 trait studies conducted during the period from 1904 to 1948 and concluded that individual traits failed to correlated with leadership effectiveness in a strong or consistent manner. The early trait research suffered from several methodological deficiencies, and not much attention was paid to the situation as a determinant of the relevance and priority of different traits. Also neglected was the question of how traits interact as an integrator of personality and behavior.

In recent years, the investigation of leader traits has been more productive. Greater progress can be attributed to the inclusion of more relevant traits in the research, use of better measures of traits (including situational tests), use of longitudinal studies, and examination of trait patterns in addition to results for individual traits. Research carried out in assessment centers has shown that the advancement and success of managers in large organizations can be predicted to a moderate extent from measures of managerial traits and skills. Although the situation largely determines the kinds of specific knowledge necessary for effective leadership, the general pattern of skills, motives, and other traits appears to be much the same for most managers and administrators in hierarchical organizations. Detailed reviews of this trait literature have been made by a number of writers (Bass, 1981; Stogdill, 1974; Yukl, 1981). The most interesting findings come from the small

minority of studies that have attempted to discover the reasons behind the correlation between some trait(s) and leader effectiveness. These studies consider the relation between traits and the role requirements and constraints faced by the leader. Some of the studies also consider the implications of traits and skills for leader behavior and use of power, although this kind of research is very rare.

Managerial motivation has been especially useful as a predictor of leadership success. The importance of managerial motivation was established in the trait studies of the 1950's and 1960's, and in some of the more recent assessment center research (Bray, Campbell & Grant, 1974; Dunnette, 1971; Huck, 1973; MacKinnon, 1975; Moses & Boehm, 1975). More narrowly focused multi-year programs of research by Miner (1965; 1978) and by McClelland and his associates (McClelland, 1975; McClelland & Burnham, 1976; McClelland & Winter, 1969) have made especially significant contributions to our understanding of how managerial motivation is related to leadership effectiveness.

Miner formulated a theory of managerial role motivation to describe the type of motivational traits required for success in most management positions in large, hierarchical organizations. The initial traits selected for investigation were based on an analysis of role requirements common to this kind of managerial position, on the results from earlier trait research, and on role theory and psychoanalytic theory. Using a projective test called the Miner Sentence Completion Scale, Miner measured six different aspects of managerial motivation, including positive attitude toward authority figures, desire to compete with peers, desire to exercise power, desire to be actively assertive, desire to stand out from the group, and willingness to carry out administrative functions. In 21 samples of managers and administrators in large, bureaucratic organizations, the overall score on managerial motivation

correlated significantly with promotion into management and advancement to higher levels of management. The particular motivation subscales that correlated most consistently with managerial success were desire to exercise power, desire to compete with peers, and a positive attitude toward authority figures. However, measures of these aspects of managerial motivation were not correlated significantly with managerial success for managers of branch officers in a consulting firm, administrators in a business school, and educational administrators in small school districts. The results may have been due to criterion problems, but it is also possible that these motives are not as important for leaders in smaller, less bureaucratic organizations.

Extensive research on managerial motivation has also been conducted by McClelland and his associates. Using a projective test called the Thematic Apperception Test, they measured three aspects of motivation that could be expected to have implications for leadership success: need for achievement, need for power, and need for affiliation. In a number of studies carried out over a period of several years, the following pattern of motives was found to be related to leader effectiveness. Effective managers in large organizations were found to have a strong need for power. However, in addition, the most effective managers had a "socialized power orientation" rather than a "personalized power orientation." They exercised power to build up the organization and make subordinates feel strong and responsible, instead of for personal aggrandizement or domination of others for its own sake. Because of his orientation toward building organizational commitment, the manager with a socialized power concern is more likely to use a participative, coaching style of managerial behavior and is less likely to be coercive or autocratic.

Need for achievement is more essential for entrepreneurial managers than for managers in hierarchical organizations, nevertheless, it is an important

component of managerial motivation. Need for achievement is associated with a preference for activities that involve initiative, risk taking, and demonstration of individual competence. For successful managers, this need is fairly strong but it usually occurs in conjunction with a socialized power concern. The manager strives to accomplish challenging objectives by working through subordinates, rather than trying to accomplish everything by himself. The high degree of ambition, initiative, persistence, and energy of these managers is more likely to be channeled into essential leadership behavior such as planning, organizing, setting goals, coaching subordinates, and initiating improvement programs.

In order to be successful, a leader needs to have considerable ability as well as motivation. Three general categories of skills have been found to be relevant for managers and administrators (Katz, 1955; Mann, 1965).

TECHNICAL SKILLS. Knowledge about methods, processes, procedures, and techniques for conducting the activities of the leader's work unit.

INTERPERSONAL SKILLS. Knowledge about human behavior and interpersonal processes, ability to understand the feelings, attitudes, and motives of others from what they say and do, ability to communicate in a clear and persuasive manner, ability to establish cooperative relationships (tact, diplomacy, charm, empathy, social sensitivity, persuasiveness, speech fluency, etc.).

CONCEPTUAL SKILLS. General analytical ability, logical thinking, proficiency in concept formation and conceptualization of complex and ambiguous relationships, creativity in idea generation and problem solving, ability to analyze events, perceive trends, anticipate changes, and recognize opportunities and potential problems.

Technical skills are primarily concerned with things, interpersonal skills are primarily concerned with people, and conceptual skills are primarily concerned

with ideas and concepts. Technical skills are essential for a manager to train and direct subordinates with specialized activities. Interpersonal skills are essential for establishing effective relationships with subordinates, superiors, peers, and outsiders. Conceptual skills are essential for effective planning, organizing, problem solving, innovating, and decision making.

Leaders need all three types of skills to fulfill their role requirements, but the relative importance of these skills and the critical subvarieties of each skill category depend on the nature of the leadership situation. Skill requirements vary somewhat depending on the type of organization, level of management, centralization of authority, developmental stage of the organization, and degree to which the environment is stable and benevolent or dynamic and threatening (Yukl, 1981).

Power and Leader Effectiveness

The power research has been concerned with two questions: how effective leaders accumulate power, and how they exercise it to influence subordinate commitment. Most research on leader power has examined aspects of power similar to those in French and Raven's (1959) power typology.

REWARD POWER. The subordinate does something in order to obtain rewards controlled by the leader.

COERCIVE POWER. The subordinate does something in order to avoid punishments controlled by the leader.

LEGITIMATE POWER. The subordinate does something because the leader has the right to request it and the subordinate has the obligation to comply.

EXPERT POWER. The subordinate does something because he/she believes that the leader has special knowledge and expertise lacked by the subordinate.

REFERENT POWER. The subordinate does something because he/she admires the leader and wants to gain his/her approval.

Power is derived in part from the leader's own individual characteristics ("personal power") and partly from the attributes of the leadership position ("position power"). Power is accumulated in the process of interaction with followers. Social Exchange Theory (Hollander, 1979; Jacobs, 1970) has proven useful for explaining how power is gained and lost as the reciprocal influence processes occur between leader and followers over time. In terms of French and Raven's (1959) five types of power, social exchange theory has been most relevant for expert and referent power of formal leaders, although there are clearly implications for legitimate power, reward power, and coercive power as well. By demonstrating competence and loyalty to the group or organization, a member (such as a formal leader) accumulates credits that contribute to the person's relative status and affect expectations about the role he or she should play. If a leader has demonstrated good judgment, followers are more willing to go along when the leader proposes innovative approaches for attaining group goals. The amount of status and influence accorded a leader is proportionate to the group's evaluation of his or her potential contribution relative to that of other members. The contribution may involve the person's unique control over scarce resources and access to vital information, in addition to skill and expertise in dealing with critical task problems. However, when the leader's proposals result in failure, or the leader otherwise demonstrates poor judgment and lack of responsibility, then he or she will lose status and influence.

Social Exchange Theory portrays the leader role as one in which some innovation is not only accepted, but is expected when the group is confronted by problems and obstacles. The risk of failure cannot be avoided by a leader who refuses to show initiative in the face of serious problems. If no action is taken by the leader, the expertise credits accumulated previously will begin to

disappear. The process of subordinate evaluation of the leader's expertise is a continuing one, and a leader cannot maintain a reputation for competence unless the group is making visible progress toward attainment of its goals, or at least has the appearance of progress. As a general guideline for accumulating expert power, a leader should foster an image of experience and competence by keeping informed about technical matters and outside developments that affect the work of the group, and by avoiding careless statements and rash decisions. In crisis situations it is essential to remain calm and provide confident, decisive leadership. If a leader vascillates or panics, expert power will be diminished.

Referent power is based on the affection and loyalty of followers, and it too is attained through a process of social exchange. Referent power is increased by acting considerate toward subordinates, showing concern for their needs and feelings, treating subordinates fairly, and defending their interests in dealing with superiors and outsiders. Referent power is diminished when a leader expresses hostility, distrust, rejection, or indifference toward subordinates. Over time, actions speak louder than words, and a leader who tries to appear supportive but who takes advantage of subordinates or fails to go to bat for them will eventually lose his/her referent power. Leaders who desire to develop a special, deeper exchange relationship with subordinates can usually do so by providing valued rewards, delegating more responsibility, and involving subordinates in making work unit decisions. In return, the leader will receive greater loyalty and subordinate commitment to work unit objectives (Dansereau, Graen, & Haga, 1975; Graen & Cashman, 1975).

Research on a leader's upward and downward power indicates that the two are related. Without sufficient upward influence to obtain necessary resources, protect group interests, and gain approval for proposed changes, a leader is unlikely to develop an effective exchange relationship with subordinates

(Cashman, Dansereau, Graen, & Haga, 1976; Patchen, 1962; Wager, 1965). A leader will lose status and influence among subordinates if he/she lacks the "clout" to represent them effectively in competition with other groups for scarce resources. Leaders gain upward influence as a result of possessing critical knowledge and ability to perform vital functions and solve important problems for the organization. Upward power can often be increased by forming coalitions with other organizational units and/or outside parties (Pfeffer, 1981). Upward power is accumulated and exercised through a political process that requires considerable interpersonal skill (e.g., persuasiveness, charm, tact, negotiating ability, acting ability, empathy, social sensitivity).

Findings from research on how to exercise power effectively have been reviewed by several writers recently (Bass, 1981; Sayles, 1979; Yukl, 1981). The research seems to indicate that effective leaders rely more on expert and referent power to influence subordinates. A major deficiency of the research is that it does not consider the skill and behavior of the leader in exercising power. The outcome of a particular influence attempt will depend as much on the leader's skill as on the type and amount of power possessed by the leader. Unless used skillfully, expert and referent power will not result in subordinate commitment. Reward, coercive, and legitimate power are likely to result in resistance rather than compliance with leader requests unless these forms of power are used skillfully. As yet, there has been relatively little research on different approaches and procedures for exercising power successfully. However, findings from research on motivation, attitude change, counseling, bargaining, conflict resolution, and other topics suggest that all of the different forms of power can be effective when used skillfully in an appropriate situation. The effective use of power by a leader requires both the ability to diagnose the situation and determine what influence strategy is appropriate, and the ability to exercise the appropriate forms of power in a manner that

leads to subordinate commitment. One of the most important considerations in the successful use of power is to minimize status differentials and avoid threatening the self esteem of subordinates. Other factors that determine the success of an influence attempt include clarity of a request, timing and appropriateness of a request, and the extent to which a request takes into account subordinate needs and concerns. Further guidelines for exercising power in a subtle, non-manipulative fashion can be found in Yukl (1981).

One other question that has been of interest to power researchers is the matter of how much power is needed for a leader to be effective. The optimal amount of position power appears to depend on the nature of the organization, task, and subordinates. If a leader has too much reward and coercive power, he may be tempted to rely on them excessively instead of developing and using expert and referent power. This path leads to resentment and rebellion. On the other hand, if the leader lacks sufficient position power to provide equitable rewards, make necessary changes, and punish chronic troublemakers, then he will find it difficult if not impossible to develop a high performing group. The question of how much personal power is desirable is more complex. Personal power is less susceptible to misuse, since it is rapidly eroded when a leader acts contrary to the interests of followers. Nevertheless, the potential for corruption of the leader remains. It is quite possible that a leader's great influence over followers stemming from exceptional expertise, strong loyalty, or intense charismatic appeal will tempt the leader to believe he knows what is best for followers and to gradually become more authoritarian and domineering. One of the best ways to insure that a leader remains responsive to subordinate needs is to provide formal mechanisms to promote reciprocal influence and discourage arbitrary actions by the leader. Some examples of such mechanisms include rules regulating exercise of reward and coercive power, grievance and appeals procedures, requirements for consultation with subordinates, etc.

Managerial Activities and Effective Leadership Behavior

Research on leadership behavior has usually been concerned either with describing the nature of managerial work or with identifying differences in behavior between effective and ineffective leaders. Self-report diaries kept by the managers themselves and observation by behavioral scientists are the research methods used most often to describe what managers do. The descriptive research is not directly concerned with leadership effectiveness, but it is likely that a better understanding of managerial work will provide some insights into the skills and behavior required for a manager to be successful.

The best known research on the nature of managerial work is that conducted by Mintzberg (1973). In addition to his own observational study of executives, Mintzberg reviewed the results from earlier studies using observation or diaries. This research has also been reviewed by McCall, Morrison, and Hannan (1978). The research showed that managerial work typically involves a large variety of activities during the day, and these activities are usually characterized by brevity and fragmentation. Managers show a strong preference for oral communication, and they spend considerable time interacting with persons outside of the immediate work unit, such as superiors, peers, clients, suppliers, etc. Mintzberg found that managers tend to gravitate toward the active aspects of their jobs, and they prefer activities that are nonroutine but well defined. The focus of interest is on current information rather than old information, and on specific issues rather than general ones. Contrary to the common image of the manager as a reflective planner, managers were seldom found to engage in general planning or abstract discussion. Mintzberg suggests that managerial effectiveness can be improved if less time is spent on superficial activities and more time is devoted to important but neglected functions such as planning and organizing, subordinate development, team building, and so forth.

The focus of most of the descriptive studies has been on activities defined at a concrete level (e.g., reads mail, tours facilities, attends scheduled meeting, talks on telephone) rather than in terms of activity content in a functional sense (e.g., plans, sets objectives, directs subordinates, solves problems, provides praise and recognition). In reviewing the earlier studies of managerial activities, Mintzberg (1973) concluded that they failed to provide much insight into what a manager does. Mintzberg's study was designed to overcome this limitation. He used unstructured observation and developed new content categories during and after the initial observations. The meaning of the observed activities was interpreted by identifying a set of ten underlying managerial roles. Each observed activity was explained in terms of at least one role, although many of the activities involved more than one role. The ten roles are applicable to any manager or administrator, but their relative importance varies from one kind of manager to another. A manager's roles are largely predetermined by the nature of his position, but he can interpret them in different ways while carrying them out. Three of the managerial roles deal with interpersonal behavior ("figurehead", "leader", "liaison"), three other roles deal with information processing ("monitor", "disseminator", "spokesman"), and the remaining four roles deal with decision-making ("entrepreneur", "disturbance handler", "resource allocator", "negotiator").

Preliminary evaluations of the descriptive research is that it has provided a more accurate picture of managerial work but has done little to identify behavior required for managerial effectiveness. Only a few of the studies have attempted to relate activity patterns to measures of group performance, and these studies were not very successful in finding significant relationships. The construct validity of Mintzberg's ten roles has yet to be established,

and a recent study by McCall and Segrist (1980) found evidence for only six of the ten roles. Most of the roles appear to describe managerial behavior at too abstract a level to understand how the behavior impacts on group performance.

Most of the research on the behavior associated with effective leadership has used either the critical incidents method or questionnaires. The critical incidents method obtains examples of effective and ineffective behavior that has been observed for a particular type of manager by the subordinates of these managers and by other respondents who interact frequently with these managers. The critical incident studies reveal that effective leadership behavior varies greatly from one type of manager to another. Some critical incidents describe specific behaviors that are applicable only to a leaders in a particular situation, such as sales managers in a retail store. Other critical incidents describe behaviors that are relevant for most kinds of leaders (e.g.,"showed appreciation when a subordinate performed a task effectively").

In most critical incident studies, similar incidents are grouped into broader behavior categories, either by the researchers or by some of the respondents. The categories have differed considerably from study to study, due in part to the large variety of leaders studied and the situation specific behaviors associated with each type. The differences in categories also reflect the arbitrary and subjective nature of the classification process used in the critical incident research. However, despite the differences, Yukl (1981) found in reviewing this research that closer examination revealed a moderate degree of similarity in categories across studies. The following types of behavior were described in critical incidents in most of the studies:

1. Planning, coordinating, and organizing operations.
2. Establishing and maintaining good relations with subordinates.
3. Supervising subordinates (directing, instructing, monitoring performance).

4. Establishing effective relations with superiors, associates, and outsiders.
5. Assuming responsibility for observing organizational policies, carrying out required duties, and making necessary decisions.

It should be noted that findings from the critical incidents research are based on the assumption that respondents know what behaviors are critical for leader effectiveness. If a certain type of behavior is mentioned frequently by different respondents, it is assumed to be important. However, this assumption is not necessarily correct. Respondents may select behaviors that are consistent with prior stereotypes or implicit theories about effective leadership, and other important behaviors may be overlooked, either because respondents fail to recognize their importance or because they are too subtle or infrequent to be readily observed by most respondents.

By far the greatest number of studies on effective leadership behavior have used questionnaires as the research method for describing this behavior. The usual approach has been to compare behavior patterns for effective and ineffective leaders, or to correlate behavior descriptions provided by subordinates with independent criteria of leader effectiveness such as group performance or ratings of the leader obtained from superiors. This research has been dominated by the concepts and methods that came out of the leadership studies at Ohio State University in the early 1950's. Researchers identified two broadly-defined categories of leadership behavior called "consideration" and "initiating structure" and developed questionnaires to measure them. (Fleishman, 1953; Halpin & Winer, 1957). A large majority of the hundreds of leader behavior studies conducted since those days have utilized these questionnaires or variations of them. The results have been inconsistent except for the finding that subordinates are usually more satisfied with a leader who is highly considerate, which is hardly a momentous discovery.

A program of leadership research carried out at the University of Michigan in the 1950's, has proven slightly more informative (Likert, 1961, 1967). Comparisons of behavior patterns for effective and ineffective leaders using both interviews and questionnaires revealed that effective managers usually concentrated on administrative functions such as planning, coordinating, and facilitating work. These task-oriented aspects of leadership were carried out without neglecting interpersonal relations with subordinates. Effective managers were more likely to treat subordinates in a considerate, supportive manner and to allow them some autonomy in deciding how to do the work and pace themselves. In addition, effective leaders were more likely to set high performance goals for subordinates, to use group methods of supervision (e.g., group meetings to discuss problems and make decisions), and to serve as a "linking pin" with other groups and with higher management.

A major reason for lack of greater progress in the behavior research has been inadequate conceptualization of leadership behavior and reliance on innacurate measures. Various behavior taxonomies have been proposed since the early Ohio State studies, including those of Stogdill (1974), Bowers and Seashore (1966), and Bass and Valenzi (1974), among others. The various behavior taxonomies have differed considerably, and none of them have satisfied the need for a set of behavior categories that are comprehensive, relevant for leader effectiveness, applicable to different kinds of leaders, and capable of being measured with a variety of techniques, particularly questionnaires, diaries, observations, and classification of critical incidents. However, Yukl (1981) and his colleagues have been engaged in a program of research which has high promise of generating a satisfactory behavior taxonomy. The behavior categories in the most recent version of the taxonomy are labeled and defined in Table 1. Preliminary research on leader effectiveness using the specific

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Insert Table 1 here
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Table 2

Definition of Managerial Behaviors

PERFORMANCE EMPHASIS: the extent to which a leader emphasizes the importance of subordinate performance and encourages subordinates to make a maximum effort.

ROLE CLARIFICATION: the extent to which a leader informs subordinates about their duties and responsibilities, clarifies rules and policies, and lets subordinates know what is expected of them.

TRAINING-COACHING: the extent to which a leader provides any necessary training and coaching to subordinates, or arranges for others to provide it.

GOAL SETTING: the extent to which a leader, either alone or jointly with a subordinate, sets specific, challenging, but realistic performance goals for each important aspect of the subordinate's job.

PLANNING: the extent to which a leader plans in advance how to efficiently organize and schedule the work, coordinate workunit activities, accomplish task objectives, cope with potential problems.

INNOVATING: the extent to which a leader looks for new opportunities for the work unit to exploit, proposes new activities to undertake, and offers innovative ideas for strengthening the work unit.

PROBLEM SOLVING: the extent to which a leader takes prompt and decisive action to deal with serious work-related problems and disturbances.

WORK FACILITATION: the extent to which a leader provides subordinates with any supplies, equipment, support services, and other resources necessary to do their work effectively.

MONITORING OPERATIONS: the extent to which a leader keeps informed about the activities within his/her work unit and checks on the performance of subordinates.

EXTERNAL MONITORING: the extent to which a leader keeps informed about outside events that have important implications for his/her work unit.

INFORMATION DISSEMINATION: the extent to which a leader keeps subordinates informed about decisions, events, and developments that affect their work.

DISCIPLINE: the extent to which a leader takes appropriate disciplinary action to deal with a subordinate who violates a rule, disobeys an order, or has consistently poor performance.

REPRESENTATION: the extent to which a leader promotes and defends the interests of his/her work unit and takes appropriate action to obtain necessary resources and support for the work unit from superiors, peers, and outsiders.

CONSIDERATION: the extent to which a leader is friendly, supportive, and considerate in his/her behavior toward subordinates.

CAREER COUNSELING AND FACILITATION: the extent to which a leader offers helpful advice to subordinates on how to advance their careers, encourages them to develop their skills, and otherwise aids their professional development.

INSPIRATION: the extent to which a leader stimulates enthusiasm among subordinates for the work of the group, and says things to build their confidence in the group's ability to successfully attain its objectives.

PRAISE-RECOGNITION: the extent to which a leader provides appropriate praise and recognition to subordinates with effective performance, and shows appreciation for special efforts and contributions made by subordinates.

STRUCTURING REWARD CONTINGENCIES: the extent to which a leader rewards effective subordinate performance with tangible benefits, such as a pay increase, promotion, better assignments, better work schedule, extra time off, etc.

DECISION PARTICIPATION: the extent to which a leader consults with subordinates before making work-related decisions, and otherwise allows subordinates to influence his/her decisions.

AUTONOMY-DELEGATION: the extent to which a leader delegates responsibility and authority to subordinates and allows them discretion in determining how to do their work.

INTERACTION FACILITATION: the extent to which a leader emphasizes teamwork and tries to promote cooperation, cohesiveness, and identification with the group.

CONFLICT MANAGEMENT: the extent to which a leader discourages unnecessary fighting and bickering among subordinates, and helps them settle conflicts and disagreements in a constructive manner.

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behaviors in the Yukl taxonomy suggest that they are much more useful than general categories like consideration and initiating structure for discovering what effective leaders do (Yukl & Kanuk, 1979; Yukl & Van Fleet, 1981). In retrospect, much of the earlier leader behavior research has been a waste of time and effort, since the researchers failed to measure many relevant aspects of leadership behavior now known to be important in various situations. These behaviors are included in the new Yukl taxonomy, and as leadership researchers begin to utilize this taxonomy, particularly in multi-method research, the pace of progress in behavior research should increase.

Situational Theories of Leadership

The clearly dominant trend of leadership theory over the last two decades has been toward development of situational or contingency theories. Nearly all of these theories have been concerned with how the effects of leader behavior are enhanced or diminished by aspects of the situation, and/or how the situation imposes role requirements and constraints on leaders. In the first approach, leader behavior is an independent variable, whereas in the second approach, it is a dependent variable. All of the situational theories except Fiedler's emphasize behavioral aspects of leadership rather than traits or power. The best known and/or most promising situational theories will be reviewed briefly.

Fiedler's Contingency Model

Fielder (1967, 1978) has attempted to explain leader effectiveness in terms of a measure of leader attitudes called the "least preferred coworker" score. A leader's LPC score supposedly reflects the motive hierarchy of the individual, but in a review of 25 years of research on LPC scores, Rice (1978) concluded that the data better supported a value-attitude interpretation. Low LPC leaders value task success, whereas high LPC leaders

value interpersonal success. High and low LPC leaders probably act differently, but the precise pattern of behavior depends on the situation. Evidence on the behavioral correlates of LPC is not clear or consistent.

In Fiedler's model, the relationship between leader LPC score and leader effectiveness depends on how favorable the situation is for the leader. Fiedler defines favorability as the extent to which the situation gives the leader control over subordinates. Favorability is measured in terms of three situational variables:

LEADER-MEMBER RELATIONS. The extent to which relations between the leader and his/her subordinates are friendly and cooperative, and the leader has the support and loyalty of subordinates.

POSITION POWER. The extent to which the leader has authority to evaluate subordinate performance and administer rewards and punishments.

TASK STRUCTURE. The extent to which there is a detailed description of the finished product or service, there are standard operating procedures to accomplish the task, and there are objective indicators of how well the task is being performed.

The situation is most favorable when leader-member relations are good, the leader has substantial position power, and the task is highly structured. When leader-member relations are good, subordinates are more likely to comply with leader requests and directions, rather than ignore or subvert them. When a leader has substantial position power, it is easier to influence and motivate subordinates. Finally, when the task is highly structured, it is easier for the leader to direct subordinates and monitor their performance. Fiedler has found that leader-member relations are the most important determinant of situational favorability, followed by task structure and then position power.

According to Fiedler's theory, leaders with low LPC scores will be more effective than leaders with high LPC scores when the situation is either very favorable or very unfavorable. On the other hand, when the situation is intermediate in favorability, high LPC leaders will be more effective than low LPC leaders. There is considerable evidence supporting these propositions, but many of the correlations are non-significant and the validity of the supporting data has been questioned by a number of critics (Ashour, 1973; Graen, Alvares, Orris, & Martella, 1970; Korman, 1973; McMahon, 1972; Schriesheim & Kerr, 1976; Shiflett, 1973). Continuing controversies about the Contingency Model have yet to be resolved. One of the most telling criticisms is that the model fails to provide a satisfactory explanation of the correlation between LPC scores and leader effectiveness. We do not know why a high LPC leader is more effective in some situations and a low LPC leader is more effective in others. It is not clear how the two kinds of leaders differ in their behavior, or what they do to increase group performance.

Hersey and Blanchard's Situational Leadership Theory

This theory explains leader effectiveness in terms of one situational variable and two aspects of leadership behavior. The situational variable is subordinate maturity, which is measured in relation to a particular task that the subordinate must perform. A "high maturity" subordinate has the ability to do a particular task, and he/she also has a high degree of self-confidence about the task. A "low maturity" subordinate lacks both ability and self-confidence.

The two leadership behaviors in the theory are "task behavior" and "relationship behavior". Task behavior corresponds approximately to initiating structure in the Ohio State Leadership Studies, and relationship behavior corresponds approxomately to consideration. Task behavior is defined by

Hersey and Blanchard (1977, p. 104) as "the extent to which leaders are likely to organize and define the roles of members of their group (followers); to explain what activities each is to do and when, where, and how tasks are to be accomplished; characterized by endeavoring to establish well-defined patterns of organization, channels of communication, and ways of getting jobs accomplished." Relationship behavior is defined as "the extent to which leaders are likely to maintain personal relationships between themselves and members of their group (followers) by opening up channels of communication, providing socioemotional support, 'psychological strokes', and facilitating behavior."

According to Situational Leadership Theory, as the level of subordinate maturity increases, the leader should use more relationship-oriented behavior and less task-oriented behavior, up to the point where subordinates have a moderate level of maturity. As subordinate maturity increases beyond that level, the leader should then decrease the amount of relationship-oriented behavior, while continuing to decrease the amount of task-oriented behavior. Thus, with very immature subordinates, the leader should be very directive and autocratic in defining subordinate roles and establishing objectives, standards, and procedures. For subordinates with a moderate amount of maturity in relation to the task, the leader should act very considerate and supp tive, consult with them in making decisions, and provide praise and attention. In addition, a moderate amount of directing and organizing is desirable. For subordinates who are very mature, the leader should delegate responsibility for deciding how the work is done and should allow subordinates considerable autonomy. Mature subordinates are confident and self-motivated, consequently they do not need much direction or support from the leader.

The theory emphasises the need for a leader to adapt his/her behavior to the

situation as defined in terms of subordinate maturity in relation to the task. Subordinates who differ in level of maturity should be treated differently, and if the maturity level of a subordinate changes, the leader's behavior should change accordingly. Hersey and Blanchard proposed that the leader is not limited to a reactive stance with subordinates. It is possible to alter the maturity level of subordinates over a period of time by means of "developmental interventions." In effect, the leader uses delegation, coaching, goal setting, and psychological support to build the skills and confidence of a subordinate, thereby increasing maturity.

Hersey and Blanchard provide little evidence in support of their theory. Unlike Fiedler, they have not published validation studies testing their theory. They claim that it is able to explain the results of earlier studies on the consequences of task- and relationship-oriented behavior, but even this assertion seems doubtful. Hardly any of the earlier studies measured maturity as Hersey and Blanchard define it, the these studies did not use the kind of analysis needed to evaluate the complex relationships proposed in their theory. The theory also suffers from some conceptual limitations. Hersey and Blanchard have neglected to provide a coherent, explicit rationale for the hypothesized relationships. Both the situation and the behavior of the leader are viewed in an overly simplistic manner. By looking at only two broad categories of leader behavior, important distinctions among different aspects of each type of behavior are overlooked. As the authors themselves admit, a number of important situational variables are ignored. Maturity is defined too broadly; it is a composite situational variable containing diverse elements, and no guidance is provided for weighting and combining these elements.

Despite its deficiencies, Situational Leadership Theory makes some positive contributions. Perhaps the greatest of these is the emphasis on flexible, adaptive leader behavior. Hersey and Blanchard also recognize that

leader behavior can be exhibited in a more or less skillful manner. Even though a particular style of leadership is appropriate in a given situation, it will not be effective unless the leader has sufficient skill in using this behavior. Finally, in dealing with subordinates, Hersey and Blanchard remind us that leaders have some options for proactive developmental behavior, and are not limited merely to reacting to the existing situation.

House's Path-Goal Theory of Leadership

The Path-Goal Theory of Leadership was developed to explain how a leader's behavior affects the motivation and satisfaction of subordinates. After an early, non-situational version of the theory was proposed by Evans (1970), House (1971) formulated a more elaborate version that included situational variables. The theory has been refined and extended by a number of writers (House & Dessler, 1974; House & Mitchell, 1974; Stinson & Johnson, 1975).

According to House (1971, p.324), "the motivational function of the leader consists of increasing personal payoffs to subordinates for work-goal attainment, and making the path to these payoffs easier to travel by clarifying it, reducing roadblocks and pitfalls, and increasing the opportunities for personal satisfaction en route." The leader's motivational functions are supplemental ones. A leader should provide subordinates with essential coaching, guidance, and performance incentives that are not otherwise provided by the organization or work group.

In addition to its effect on subordinate motivation, a leader's behavior will affect subordinate job satisfaction, particularly satisfaction with the leader. According to House and Dessler (1974), "leader behavior will be viewed as acceptable to subordinates to the extent that the subordinates see such behavior as either an immediate source of satisfaction or as instrumental to future satisfaction." The effect of the leader's actions on subordinate satisfaction is not necessarily the same as the effect on motivation. Depending on the situation, a leader's actions may increase or decrease either or both of these.

According to Path-Goal Theory, the effect of leader behavior on subordinate motivation and satisfaction depends on the situation. Characteristics of the subordinates (e.g., ability, personality) and characteristics of the environment (e.g., type of task) determine both the potential for increased motivation and the manner in which the leader must act to improve motivation. Situational variables also determine subordinate preferences for a particular pattern of leadership behavior, thereby influencing the impact of the leader on subordinate satisfaction.

The latest version of the theory includes four categories of leader behavior (House & Mitchell, 1974). These behaviors were defined as follows:

SUPPORTIVE LEADERSHIP. Behavior that includes giving consideration to the needs of subordinates, displaying concern for their welfare, and creating a friendly climate in the work unit (similar to consideration).

DIRECTIVE LEADERSHIP. Letting subordinates know what they are expected to do, giving specific guidance, asking subordinates to follow rules and procedures, scheduling and coordinating the work (similar to initiating structure).

PARTICIPATIVE LEADERSHIP. Consulting with subordinates and taking their opinions and suggestions into account when making decisions.

ACHIEVEMENT-ORIENTED LEADERSHIP. Setting challenging goals, seeking performance improvements, emphasizing excellence in performance, and showing confidence that subordinates will attain high standards.

According to the theory, the impact of leader behavior on subordinate motivation can be understood by examining how the leader affects subordinate perceptions about the likely outcomes of different courses of action. A subordinate will only have a high degree of task motivation when he or she perceives that efforts to improve performance will be successful and will lead in turn to desirable

outcomes.

In situations where there is role ambiguity, directive leadership that clarifies each subordinate's role will increase motivation by increasing the expectancy of subordinates that effort will leader to superior performance. Directive behavior will also increase satisfaction to the extent that there is role ambiguity and subordinates desire greater clarity.

Supportive leadership behavior will increase motivation and satisfaction when the task is stressful, tedious, boring, or dangerous. By acting considerate and supportive and by trying to minimize the negative aspects of the task, the leader makes it more tolerable for subordinates.

Achievement-oriented leadership will cause subordinates to have more confidence in their ability to attain challenging goals, thereby increasing the likelihood that subordinates will make a serious effort in doing the task.

Participative leadership is hypothesized to increase subordinate motivation when the task is unstructured. While participating in decision making about task goals, plans, and procedures, subordinates get a clearer picture of the role they are expected to perform. The act of participating may or may not improve job satisfaction, depending on whether subordinates have the kind of personality that would lead them to desire more responsibility and participation.

Research conducted to test Path-Goal Theory has yielded mixed results. Reviews of this research (Filley, House, & Kerr, 1976; House & Mitchell, 1974; Schriesheim & Von Glinow, 1977) find that some studies support the theory, while others do not. A possible reason for the lack of conclusive results is that much of the validation research suffers from serious methodological limitations (Yukl, 1981). Part of the difficulty in testing the theory properly is due to the conceptual ambiguity of the theory and the confusion caused by different versions of the theory. Conceptual weaknesses have been pointed out

by several critics (Osborn, 1974; Schriesheim & Kerr, 1976; Stinson & Johnson, 1975; Yukl, 1981). Despite its limitations Path-Goal theory has made a contribution to the study of leadership by providing insights into the motivational functions of leaders and by identifying potentially important situational moderator variables.

Yukl's Multiple Linkage Model of Leader Effectiveness

According to Yukl's (1981) Multiple Linkage Model, a leader's effectiveness in the short run depends on his or her skill in acting to correct any deficiencies in subordinate motivation, role clarity, task skills, resources needed to do the task, organization and coordination of subordinate activities, and group cohesiveness and teamwork. The situation determines which of these intervening variables are important, which are in need of improvement, and what potential corrective actions are available to the leader. The causal relationships are shown in Figure 1. A leader will not be optimally effective if he or she

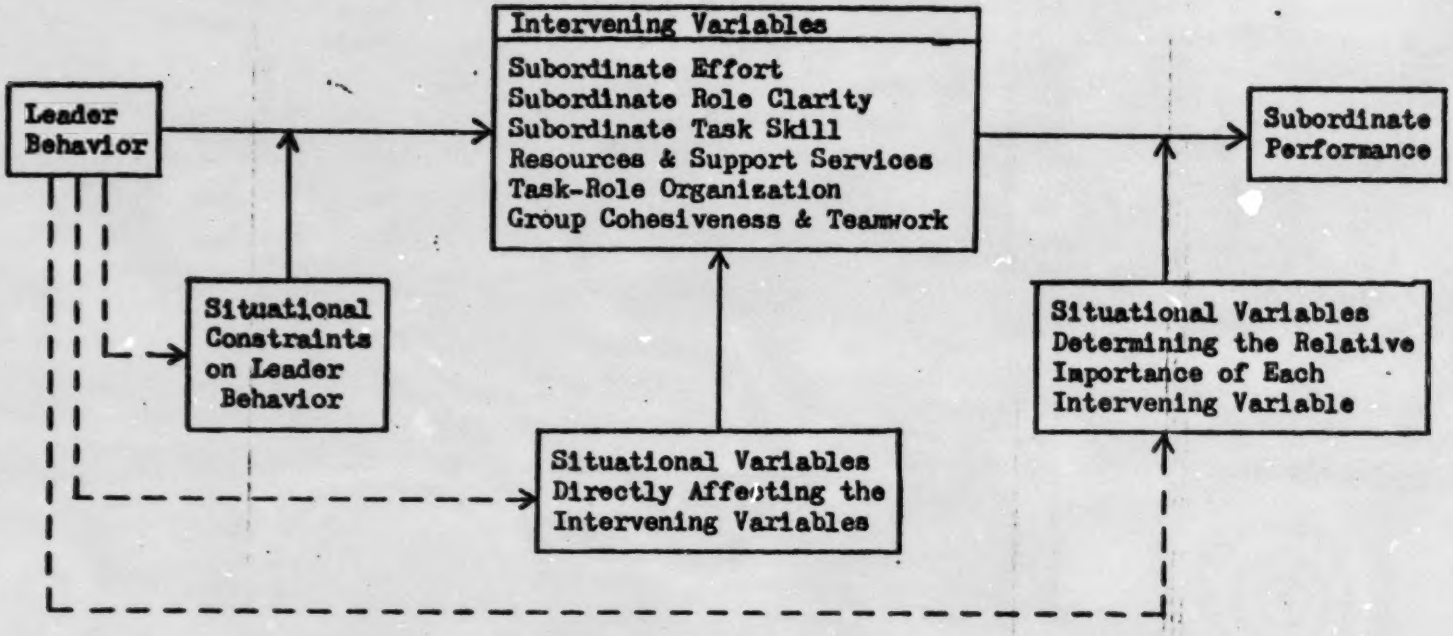
.....
Insert Figure 1
.....

fails to recognize deficiencies in the intervening variables, if the deficiencies are recognized but the leader fails to act, or if the leader acts but lacks the necessary skill to accomplish the desired improvements. The model does not imply that only one particular pattern of leader behavior is optimal in a given situation. Instead, the possibility of alternative sequences of corrective actions are recognized, and the identification of these behavior patterns is regarded as an empirical question that has only been partially answered by prior research.

The Multiple-Linkage Model recognizes that the potential short-term influence of the leader on the intervening variables and thus on group performance is much greater in some situations than in others. Where there are no serious

Figure 1

Causal Relationships in the Multiple Linkage Model of Leadership Effectiveness



From Yukl (1981)

deficiencies, or where there are deficiencies but situational constraints prevent the leader from acting to correct them, the leader will have little short term impact on subordinate performance.

A second basic proposition of the Multiple Linkage Model is that, over a longer time period, leaders can act to change some of the situational variables and create a more favorable situation. Leader behavior affecting situational variables involves strategic planning, policy formation, program development, organizational change, and political activities or public relations efforts with superiors and other important persons outside of the leader's organizational unit. These long-range actions may be directed at changing any of the three types of situational variables. The leader may change the situation in order to alter the relative importance of some situational variables, to correct chronic deficiencies caused by the existing situation, or to eliminate situational constraints on future short-term corrective actions. By successfully pursuing these kinds of changes over a period of months and years, a leader is sometimes able to do more to improve group performance than is possible by short-term responses to immediate deficiencies in intervening variables. Some examples of possible strategies to improve the leadership situation include (Yukl, 1981, p. 160):

1. Developing better relations with superiors to increase their trust and support and pursuade them to provide more authority to deal decisively with work unit problems.
2. Gaining more control over input acquisition (e.g., supplies, resources, clients for services) or output disposal (e.g., external markets) by cultivating better relationships with suppliers and clients, finding new sources of supplies and resources, finding additional clients, and reducing dependence on unreliable suppliers or customers.

3. Initiating new and more profitable activities, products, services for the work unit to improve utilization of existing personnel, equipment, and facilities.
4. Initiating long-term improvement programs designed to upgrade personnel, equipment, and/or facilities.
5. Changing the structure of the organizational unit by redefining authority relationships, increasing delegation or centralization of decision making, creating or eliminating positions or subunits, and modifying communication patterns and information systems in order to solve chronic problems and reduce demands on the leader for short-term "trouble shooting" activities.

The Multiple-Linkage Model is a sketchy meta-theory rather than an elaborate, formal theory. It was developed to aid in the analysis of leadership effectiveness of administrators in formal organizations, and to aid in the identification of important variables to study. The model has not yet been tested, indeed it is doubtful that it can be properly tested in its present form. The model is generally consistent with Path-Goal Theory, but is much broader in scope due to the inclusion of other intervening variables besides subordinate motivation.

Kerr and Jermier Substitutes for Leadership

Kerr and Jermier (1978) developed a model to identify aspects of the situation that reduce the importance of managerial leadership. The model makes a distinction between two kinds of situational variables: "substitutes" and "neutralizers". Substitutes make leader behavior unnecessary and redundant. They include any characteristics of the subordinates, task, or organization that insure subordinates will clearly understand their roles, know how to do the work, be highly motivated, and be satisfied with their jobs. Neutralizers are any characteristics of the task or organization that prevent

a leader from acting in a specified way or that counteract the effects of the leader's behavior.

According to Kerr and Jermier, a number of subordinate characteristics may serve as substitutes and/or neutralizers for supportive and instrumental leadership. Supportive leadership is defined in a way similar to consideration, and instrumental leadership is similar to initiating structure. Extensive prior experience or training serves as a substitute for instrumental behavior by the leader. Little direction of subordinates is necessary, because they already possess the skills and knowledge to know what to do and how to do it. For example, medical doctors, airline pilots, accountants, electricians, and other professionals and craftsmen do not require close supervision. Likewise, most professionals are internally motivated by their values, needs, and ethics, so they do not need to be influenced by the leader to do high quality work.

Various task attributes also serve as substitutes for instrumental leader behavior. If the task is simple and repetitive, subordinates may be able to learn the appropriate skills quickly without extensive training and direction by the leader. If the task automatically provides feedback to the worker on how well the work is being performed, then the need for feedback from the leader is greatly reduced. If the task is interesting and enjoyable, the leader does not need to provide supportive leadership that might otherwise be required to make the job situation tolerable to subordinates.

Like prior experience or simple tasks, organizational formalization can serve as a substitute for instrumental leadership behavior. In organizations with detailed written plans, rules, procedures, standards, regulations, and policies, the leader does not need to continually instruct subordinates about how

to do their jobs. Little direction is necessary once the rules and procedures have been learned by subordinates. Rules and policies can serve as a neutralizer as well as a substitute if they are so inflexible that the leader is prevented from making changes in job assignments or procedures to facilitate subordinate effort. Lack of appreciable position power tends to neutralize the use of rewards and punishments by the leader to motivate subordinates. Both supportive and instrumental leader behavior are substantially neutralized when subordinates are geographically dispersed and have only infrequent contact with their leader. Finally, the existence of a highly cohesive group of subordinates who work together can serve as a substitute for supportive leadership, since subordinates can obtain any necessary psychological support from each other rather than from the leader.

Since Kerr and Jermier's model was only recently formulated, only a few studies have been conducted to verify its propositions about specific substitutes and neutralizers. Thus, it is still too early to assess the validity and utility of the model. Kerr and Jermier suggest the interesting possibility that leaders are sometimes redundant. While it seems far fetched to say that a leader cannot have any impact on subordinate performance, it does seem clear that various substitutes and neutralizers may limit leader influence more in some situations than in others. One positive contribution of the model has been to focus the attention of researchers on conditions that serve as substitutes or neutralizers.

Osborn and Hunt's Adaptive-Reactive Theory

Osborn and Hunt's (1975) theory is concerned primarily with the aspects of the situation that shape a leader's behavior, rather than with the consequences of this behavior. Nevertheless, the theory has implications for leader effectiveness also. Osborn and Hunt contend that the influence of macro variables

on leader behavior is greater than the influence of micro variables and has largely been neglected in the leadership literature. By macro variables, they mean aspects of the situation that are likely to be constant for all of a leader's subordinates, such as the structure of the organization, its external environment, and the technology used to produce goods or services. Micro variables are likely to be different for each subordinate, and include things like task characteristics and subordinate traits.

The theory was elaborated in a subsequent paper by Hunt and Osborn (1978). Their major premise is that the organizational setting will present the leader with various opportunities and constraints. Some leaders have a great deal of discretion, whereas others are highly constrained in their behavior. Hunt and Osborn distinguish between "discretionary behavior" that is initiated by the leader and "non-discretionary behavior" that is merely a response to overwhelming pressures from macro variables.

Leader discretion is reduced as the external environment becomes more complex and unstable. Uncertainty increases the difficulty of planning and controlling internal operations, particularly when the leader's unit is highly dependent on other organizations. This dependency forces the leader to spend more time on external affairs, and he must monitor changing conditions and accommodate the needs of important outsiders.

Another type of macro variable is the structure of the organization to which the leader's unit belongs. According to the theory, three important aspects of structure are centralization, formalization, and lateral interdependence. In a highly centralized structure where most of the important decisions are made by top management, middle and lower-level managers have less discretion than in a decentralized organization. There is an even greater reduction in discretion when the top management in a centralized structure has

a highly reactionary philosophy of managing. That is, if top management waits for environmental changes to occur before acting, rather than trying to plan for changes in advance, middle and lower managers are forced to make quick adjustments to abrupt changes initiated by top management and have little opportunity for systematic planning of their own. Managerial discretion is also limited in a highly bureaucratic organization with elaborate rules, regulations, and policies that must be observed. Finally, when there is a high degree of interdependence among the subunits of an organization, managerial discretion is lower than when subunits are relatively independent in their operations. Managers of interdependent units must spend more time coordinating with each other and must accomodate each other's needs when making decisions.

The size of the leader's group is another macro variable affecting leader discretion. Not only is it more difficult to get everybody together for meetings in a large group, there is also less opportunity to interact with each subordinate on a one-to-one basis. The leader is forced to use more formal behavior and to deal more often with subgroups rather than individuals.

Even though micro variables are assumed by Hunt and Osborn to be less important than macro variables, they recognize that task and subordinate characteristics do indeed affect leader behavior. When the task is complex and subordinates inexperienced, the leader needs to spend more time in one-on-one interactions providing guidance and instruction to subordinates who need it. When subordinates have tasks that are interdependent, less time is spend in one-to-one interactions than when subordinates work separately, due to the need for coordination and "group leadership". When the group is cohesive and shares the leader's concern for task objectives, group leadership is feasible. However, when the group is cohesive but hostile, one-on-one leadership interactions are preferable.

Adaptive-reactive theory does not describe the process by which situational conditions affect leader behavior, it merely examines the determinants of various kinds of non-discretionary behavior, and the degree of discretionary behavior remaining for the leader in a particular situation. Most of the propositions are based on a limited amount of prior research, although a few are purely speculative. Since the theory was only recently formulated, there has not been much research to verify its propositions.

Stewart's Role Requirements and Constraints

Rosemary Stewart (1974, 1976) has conducted the most comprehensive research to date on role requirements and constraints faced by different kinds of managers and administrators. She found that the activities of managers are strongly influenced by the pattern of relationships with subordinates, superiors, peers and outsiders, by the nature of the unit's work, and the degree of manager "exposure".

The demands made on a manager by subordinates, superiors, peers, and outsiders were found to influence how the manager spent his or her time, and they determined how much skill was needed in dealing with each party. Stewart concluded that more time and skill are needed to deal with subordinates when they have interlocking work, new assignments must be made frequently, it is important to monitor their performance but difficult to do so, and compliance with orders and requests is not assured by subordinate respect for legitimate authority. More skill and time is needed to deal with superiors when the leader is highly dependent on them for authority, resources, definition of the leader's job scope, and allocation of work to the leader's unit. More time and skills are needed to deal with peers when the manager is dependent on them to provide important inputs (e.g., supplies, materials, information) or to accept the outputs (e.g., products or services) of his or her unit.

More time and skill is needed to deal with outsiders when the manager is highly dependent on them to provide inputs for his or her unit (e.g., supplies, materials, resources, information, clients), to accept the unit's output (e.g., goods or services), or to otherwise provide cooperation and support. External relationships are more difficult when it is necessary to develop personal relationships, negotiate agreements, carry out public relations activities, act discreet, and create a good impression. Having to establish relationships with many people for short periods of time, as opposed to dealing with the same people repeatedly, further complicates the manager's job, especially when it is important to impress and influence outsiders quickly. All managerial jobs require some mix of contacts with subordinates, peers, superiors, and outsiders, but for most jobs there are characteristic patterns of job contacts dictated by differences in the demands made by each party. Stewart (1976) identified common types of managerial positions with high external, internal, superior, or peer dependence. Another important implication of the pattern of diverse demands is the degree of role conflict caused for the leader.

Aspects of the work itself that affect managerial activities include the source of task initiation, the repetitiveness of the tasks, the importance of meeting deadlines, and the degree of uncertainty in the work. More initiative is required of a manager with a self-generating job than for a manager whose primary role is to be responsive to the requests and problems of clients, users, and customers, both inside and outside of the organization. More flexibility and variety of activities is possible for managers with tasks that are variable and unique rather than routine and repetitive. Managers faced with frequent crises and unpredictable disruptions must do more troubleshooting and are less able to plan their time. Closer supervision and control of operations are likely when there is strong pressure on the manager to meet difficult deadlines.

Finally, the extent to which a manager is required to devote sustained attention to particular activities such as preparing reports, plans, and budgets also depends on the nature of the work. Research managers, some project managers, and some managers of staff units require this kind of sustained attention, whereas a pattern of brief, fragmented contacts is more typical of most other kinds of managers, particularly those with high demands from subordinates and peers.

Exposure depends on the amount of responsibility borne by a manager and the ease in evaluating the consequences of the manager's decisions and actions. The degree of exposure is much greater for managers who make important decisions with highly visible consequences for the organization. A manager is likely to monitor the activities of subordinates more closely and delegate less if the manager is accountable for mistakes or poor judgment that can result in loss of resources, disruption of operations, and risk to human life and health.

Stewart is careful to point out that, despite all the demands and constraints imposed by the situation, a manager still has considerable discretion, particularly with respect to how much time is devoted to various activities, what aspects of the job are emphasized, and how much time is spent with different people.

More than any of the previous situational models, Stewart's propositions are grounded in careful empirical research. Like Osborn and Hunt, Stewart is primarily concerned with describing how a manager's behavior is influenced by the situation, rather than with attempting to explain the psychological processes (e.g., role theory, expectancy theory) by which situational influences are translated into managerial behavior.

House's Charismatic Leadership Theory

House (1977) has proposed a theory to explain charismatic leadership in terms of the leader's traits, behavior, influence, and situational conditions enhancing subordinate receptivity to ideological appeals. This theory helps to reduce some of the mystery surrounding charismatic leaders by identifying how they differ from other people, how they behave, and the conditions under which charismatic leadership is most likely to occur.

According to House, charismatic leaders are likely to have a great deal of self-confidence, a strong conviction in their own beliefs and ideals, and a strong need to influence people (i.e., need for power). Self-confidence and strong convictions increase the likelihood that subordinates will trust the leader's judgment. A leader without confidence in himself or his proposals is less likely to try to influence others, and when such an attempt is made, it is less likely to be successful. An attempt to influence the attitudes and behavior of followers is more likely to be made by a leader with a strong need for power, since persuasion is one common way to express this need.

Charismatic leaders are likely to engage in behaviors designed to create the impression among followers that the leader is competent and successful. This kind of impression management bolsters subordinate trust in the leader's decisions and increases willing obedience by followers. In the absence of such behavior, problems and setbacks may erode the perceived expertise of the leader and therefore his or her influence over subordinates.

Charismatic leaders are likely to articulate ideological goals for subordinates. The work and mission of the group is related by the leader to deeply rooted values, ideals, and aspirations shared in common among followers. By providing an appealing vision of what the future could be like, charismatic leaders give the work of the group more meaning and inspire enthusiasm and

excitement among followers.

Since charismatic leaders rely heavily on appeals to the hopes and ideals of followers, a necessary condition for occurrence of charismatic influence is the possibility of defining follower roles in idealogical terms that will appeal to them. Ideological appeals are less feasible in some types of organizations (e.g., business corporations) than in others (e.g., religious, political, military, educational, health care organizations). Some possibility exists also that charismatic leadership requires stressful conditions, but there is still too little evidence to support this proposition.

Charismatic leaders are likely to use role modeling wherein they set an example in their own behavior for followers to imitate. If followers admire a leader and identify with him, they are more likely to imitate his behavior and emulate his attitudes and values. Through this process charismatic leaders are able to exert considerable influence on subordinates.

Charismatic leaders are likely to communicate high expectations about follower performance, while simultaneously expressing confidence that subordinates can fulfil these expectations. As a result, subordinates are likely to set performance goals that are challenging, and the expression of confidence by a highly admired leader will boost their self esteem and give them confidence that the goals are realistic and can be successfully attained.

Finally, charismatic leaders are more likely to behave in ways that arouse motives relevant to the accomplishment of the group's mission. Motives such as achievement, power, and affiliation can be aroused by giving inspirational talks with emotional appeals and emphasis on such things as "team loyalty", "defeating the enemy", "being the best", "serving one's country", and so on.

In support of his theory, House (1977) reviews relevant evidence from earlier research carried out in a number of disciplines. The theory was based

on these findings and appears to be consistent with them. However, the theory is so recent that there has been little new research yet to test its propositions. The major contribution of the theory may be its explanation of charismatic leadership in terms of testable propositions that involve straightforward behavioral processes rather than the usual fokelore and mystique surrounding this subject.

Vroom and Yetton's Normative Model of Participation

The importance of using decision procedures that are appropriate for the leader's situation has been recognized for some time. Tannenbaum and Schmidt (1858) noted that a leader's choice of decision procedures reflects forces in the leader, forces in the subordinates, and forces in the situation. Maier (1963) pointed out the need for leaders to consider both the quality requirements of a decision and the likelihood of subordinate acceptance of the decision before choosing a decision procedure. Vroom and Yetton (1973) build upon these earlier approaches but go further in specifying which decision procedures will be most effective in each of several specific kinds of situations.

The Vroom-Yetton model is based on an analysis of how a leader's decision behavior affects decision quality and subordinate acceptance of the decision. Decision quality refers to the objective aspects of the decision that affect group performance aside from any effects on subordinate motivation. A high quality decision occurs when the best available alternative is chosen. Decision quality is important when the decision has serious implications for group performance and the alternatives vary greatly in desirability. Decision acceptance is the degree of subordinate commitment to implement the decision effectively. Acceptance is important when the leader is dependent upon subordinates to implement the decision.

Vroom and Yetton identify several decision procedures that can be used to

make decisions involving one or more of a leader's subordinates. In effect, these procedures represent a continuum ranging from no participation to maximum subordinate influence over the decision. There are two varieties of autocratic decision (AI and AII), consultation with subordinates individually, consultation with subordinates together as a group, a group decision, and delegation to an individual subordinate.

According to Vroom and Yetton, the relative effectiveness of the different decision procedures depends upon a number of aspects of the decision situation, including the relevant amount of information possessed by leader and subordinates, the likelihood that subordinates will accept an autocratic decision, the likelihood that subordinates will cooperate in trying to make a good decision if allowed to participate, and the amount of disagreement among subordinates with respect to their preferred alternatives. The model provides a set of rules for determining what decision procedures are inappropriate in a given situation because they risk decision quality and/or acceptance. If more than one decision procedure remains in the "feasible set" after inappropriate ones are rejected, the leader can select one of these on the basis of other considerations such as time requirements or compatibility with personal traits.

The decision rules can be summarized briefly in the following manner. An autocratic decision is inappropriate if the decision is important and subordinates possess relevant infomation lacked by the leader, or if decision acceptance is important and subordinates are unlikely to accept an autocratic decision (the leader lacks sufficient position or personal power to gain commitment). A group decision or delegation is inappropriate when decision quality is important and subordinates do not share the leader's concern for task goals; these procedures would give too much influence over an important decision to uncooperative or even hostile parties. If the decision quality

is not important, but acceptance is critical and unlikely to result from an autocratic decision, then the only appropriate procedure is a group decision. When subordinates are likely to disagree among themselves about the best solution, autocratic procedures and individual consultation are inappropriate because they do not provide opportunity to resolve differences through discussion and negotiation among subordinates.

The Vroom-Yetton model appears to be a promising development in leadership theory. The rules for selecting a decision procedure are generally supported by prior research on participation. However, few studies have attempted to test the model in its entirety, and some further modifications or refinements may prove to be necessary, even though the basic logic of the propositions appears sound.

Summary of Situational Theories

The nine situational theories all include situational variables, but the number and type of situational variables is different for each theory. Although the inclusion of a variety of aspects of the situation makes possible a more complete explanation of leader effectiveness, it also makes a theory harder to test. Of the theories reviewed, some have been tested extensively and others not at all, but in no case has the validation research been sufficient to reach any firm conclusions. The deficiencies of most research on situational theories have been pointed out by critics such as Korman (1973) and Korman and Tanofsky (1975). The research suffers from problems such as lack of comparable situational measures from study to study, lack of accurate measures of leader behavior and intervening variables, failure to control for contamination due to situational variables not measured, and overreliance on correlational studies that do not permit strong inferences about causality. The lack of conclusive

results in research on situational theories is also due to conceptual weaknesses in the theories themselves. Most of them are stated so ambiguously that it is difficult to derive specific, testable hypotheses. Thus, at present, the theories are more useful as a source of ideas about potentially important variables to investigate than as a source of definitive explanations about leadership effectiveness.

The situational theories differ so much in scope, content, and level of abstraction that it is difficult to integrate them into any kind of a general, comprehensive framework. Integration would be much easier if each theory had used the same taxonomy of leadership behavior. One way to make a beginning at integration is to state the behavioral implications of each theory in terms of the behaviors in Yukl's taxonomy. That is, inferences can be drawn from each theory about the relevance of each kind of behavior in particular situations. An analysis of this kind can be found in Chapter 7 of Yukl's (1981) leadership book.

Implications of Leadership Literature For Principals

The situational nature of leadership means that findings for middle managers in business organizations will not necessarily apply to school principals. However, there are many similarities in the leadership roles of managers and principals, and these similarities provide one basis for generalizing results from one kind of leader to the other. In addition, there have been some parallel studies for managers and principals in which the same methods and variables were used for both kinds of leaders. These studies provide direct evidence about the relevance of managerial research findings for school principals.

Managerial Traits

Research on traits associated with managerial effectiveness has found the following traits to be beneficial: self-confidence, socialized power need, need for achievement, desire to compete with peers, respect for authority figures, high stress tolerance, high energy level, interest in oral, persuasive activities, and relevant technical, conceptual, and interpersonal skills. Most of these traits also appear to be beneficial for school principals, but the trait research on principals is insufficient to draw any firm conclusions. Determination of relevance is based primarily on analysis of role requirements.

The hectic, fast pace of work for principals is similar to that of most managers, and requires similar high energy and stress tolerance. The high frequency of interaction with teachers, students, and parents enhances the relevance of oral, persuasive interests and interpersonal skills such as persuasiveness, tact, charm, empathy, and social sensitivity. Need for achievement enhances a prinicpal's motivation to strive for academic distinction for his or her school. Self-confidence, together with a personal vision of what can be accomplished, induces a principal to initiate improvements rather than

merely wondering whether the system will allow changes. A dominant, socialized need for power is likely to induce a principal to seek out the enthusiastic involvement and support of teachers in designing and implementing new programs, rather than trying to reshape curriculum and modify programs in a directive, autocratic manner.

Some traits such as respect for authority figures and desire to compete with peers appear less relevant for principals than for managers. Due to the loosely-coupled nature of school organizations (Weick, 1976), many principals interact only infrequently with other principals or with their district superintendent. Under such conditions, these traits are not essential.

Like a first-line supervisor, a school principal needs considerable technical skill. The principal does not need to have as much specialized academic knowledge as each individual teacher, but he/she should be an expert in pedagogocal practice, curriculum planning, analysis of learning processes, and program implementation (Smyth, 1980). Due to the complexity and uncertainty of educational processes and technology, a principal may need the conceptual skills appropriate for a middle manager. Because principals are bombarded with changes and new programs originating at higher levels in the educational system, technical and conceptual skills are both needed to understand these changes and evaluate their desirability for the local school. Finally, considerable interpersonal skill is needed to influence teacher commitment and to utilize the limited power of the position to get changes implemented (Gorton & McIntyre, 1978).

Power and Influence

The power research appears to offer useful insights into the way principals acquire or lose expert and referent power. For example, personal influence of a principal over his or her teachers can be increased by supporting them in conflicts with parents or administrators, looking out for their welfare,

and being considerate and helpful. Power research in schools finds that influence based on personal power is associated with greater loyalty, satisfaction, and commitment on the part of a principal's teachers (Gross & Herriot, 1965; Isherwood, 1973). The research suggests that effective principals exercise power in a tactful, understanding, non-manipulative manner, and they provide calm, confident, professional leadership. These findings exactly parallel those for managers.

Educational administration research also confirms the proposition that position power is not inconsequential for leadership effectiveness. Like managers, a principal can acrue obligations and support through dispensing rewards and assistance to subordinates, particularly when these benefits exceed the amount normally received by teachers (Isherwood, 1973). Although the reward power of a principal is severely constrained by professional norms, union contracts, board of education regulations, funding formulae, and proliferating government regulations, imaginative principals make the most of their discretion to reward cooperative, loyal teachers. For example, principals may distribute summer school positions, make performance ratings that qualify a teacher for career advancement, and recommend a teacher for promotion to assistant principal (Morris et al., 1981). In part, a principal's discretion to dispense rewards depends on his or her skill in circumventing bureaucratic constraints.

Leadership Behavior

Several observational studies of principals suggest that there are many similarities in the activity pattern of principals and managers (Martin & Willower, 1981; Morris et al., 1981; Peterson, 1981). The administrative work performed by principals consists mostly of brief, fragmented, and varied activities, mostly involving scheduled and unscheduled oral interaction with subordinates. This

pattern is typical of that found for managers of self-contained, relatively autonomous geographical units of organizations such as retail stores, banks, and service centers. The dangers of becoming preoccupied with superficial activities applies to principals as well as to managers. Blumberg and Greenfield (1980) found that successful principals are able to satisfy routine organizational demands in an efficient manner and allocate more time and effort to activities directly related to improving organizational performance, such as curriculum planning, teacher development, and so forth.

The most important functions performed by principals appear to be the following: (1) develop goals, policies, and directions, (2) organize the school and design programs to accomplish the goals, (3) monitor progress, solve problems, and maintain order, (4) procure, manage, and allocate resources, (5) create a climate for personal and professional growth and development, (6) represent the school to the district office and the outside community. The role of school principal has some of the attributes of a first-line supervisor and some of the attributes of a middle manager. The need to maintain smooth, orderly operations by monitoring subordinate activities, solving problems, handling disturbances, and maintaining discipline is a salient role requirement for many supervisory positions in business organizations. The need to develop subordinates professionally, to delegate considerable discretion and responsibility, and to oversee the implementation of new programs are role requirements common to many middle managers. Both types of roles are essential, but innovation and bold initiatives occur only rarely, whereas routine administration and disturbance handling are daily responsibilities from which there is no escape. Nevertheless, it is during the daily interactions with teachers and pupils that a principal creates a climate favorable to acceptance and support of new programs. High expectations, role clarity, cooperative effort, and shared norms about

order and discipline are the products of the principal's daily managerial behavior toward teachers and pupils. (Brookover, Beady, Flood, Schweitzer, & Wisenbaker, 1979).

Situational Theories of Leadership

The situational nature of role requirements for school principals has not been explored very extensively, but it is likely that the optimal behavior pattern will vary somewhat depending on factors such as school size, elementary or secondary grades, urban or rural location, new or established school, and public versus private ownership. Situational leadership theories can be helpful in identifying the behavioral role requirements for success as a principal in a particular type of school situation. However, the nine situational theories reviewed earlier vary considerably in their contribution to a better understanding of reasons for principal effectiveness.

One of the least useful of the situational theories in this regard is Fiedler's Contingency Model. Since LPC is a poorly defined trait measure without clear behavioral determinants, the theory is unable to tell us what effective principals do. The primary application of a trait-based predictor model such as Fiedler's is to improve leader selection, but as yet no studies have been published showing that LPC scores are useful as a selection device.

Hersey and Blanchard's Situational Leadership Theory appears too simplistic to be of much use for understanding what makes a principal effective. Like earlier research and theory fixated on a two-factor (task and relationship-oriented) conception of leader behavior, the theory is unable to portray the complexity and variety of behavior carried out by managers and principals.

Somewhat more useful are the models developed by Kerr and Jermier, Osborn and Hunt, and Stewart. Together, these situational models provide insights into the role requirements and behavior patterns found for principals. A principal is the leader of a semi-autonomous organizational unit with a moderately stable

external environment. However, the environment is clearly becoming more uncertain and less stable as funding for education declines, enrollment drops, criticism of schools increases, and governmental regulations increase (e.g., affirmative action, etc.). This trend suggests that principals will need to spend more time than before on external activities involving outsiders (e.g., shaping community expectations, soliciting cooperation and support in the community, buffering against outside interference, resisting ill-advised programs imposed from above, conducting public relations activities to build a favorable image for the school, recruiting volunteers, raising supplementary funds). Interaction with peers (other principals) will probably continue to be minimal.

Although at first glance one might expect dependence on superiors to be high in an organization as centralized and formalized as a school district, this does not appear to be the case. Unlike most business organizations, schools are loosely coupled to a degree allowing considerable discretion for the principal (March, 1978; Weick, 1976). Due in part to geographical separation and in part to the professionalism of principals, there is often a lack of close supervision of school principals by superiors. Thus, principals are often able to ignore, subvert, or favorably interpret formal rules and policies to suit the needs of their individual schools (Morris et al, 1981).

The "inside focus" of principals and predominant pattern of interaction with subordinates (teachers and students) reflects the realities of the situational demands. The position of school principal is one for which the dominant source of demands is from subordinates, rather than from peers, superiors, or outsiders. The demands primarily involve requests for supplies, assistance, advice, and handling of problems and disturbances (e.g., discipline students, care for injured students, get equipment repaired, etc.). Demands

from subordinates are simplified, however, by the lack of need for coordination among teachers and the lack of need for close supervision. Indeed, since teachers are professionals who insist on considerable autonomy, close supervision is largely precluded, even though the principal may monitor classroom activity periodically just to insure that things are running smoothly.

The amount of exposure appears to be quite high for principals, since they are held accountable for protecting the health and safety of teachers and students, maintaining a favorable learning environment, and achieving a satisfactory level of academic performance. Exposure is increased by the high visibility and seriousness of disturbances (e.g., fights, riots), accidents (e.g., fire, explosion), crime and vandalism in the school, and unprofessional conduct by teachers. The high level of exposure suggests that principals will devote considerable time to monitoring internal activities and handling disturbances promptly, which is exactly what has been found in the observational studies of principals (e.g., Morris et al., 1981).

The same three situational theories also provide some insights about differences in role requirements across different schools. For example, delegation of responsibility for administrative functions should be greater for larger schools than for smaller ones, since the administrative workload increases with size. Problems with subordinates are likely to be handled in a more formalized, less personal manner, since in a large school the principal has less time to spend with individuals. Since there is more role specialization and complexity of operations in high schools than in elementary schools, more coordination and planning is probably needed. Since private schools are more dependent than public schools on attracting students and funding from uncertain outside sources, public relations, fund raising, and recruiting of students are more important leadership functions for principals of private schools.

The need for coaching, advice, and support should be much less when teachers are highly experienced and competent than when they are not, such as in a newly established school or one with an influx of young, inexperienced teachers. Need for considerate, supportive leadership is also greater when the job is unusually stressful and tedious, as when there have been major disruptions due to strikes, racial conflicts, vandalism, funding cutoffs, or natural disasters.

The implications of Path-Goal Theory are the same for principals as for managers. The leader should clarify role expectations for subordinates when there is role ambiguity or role conflict, and rewards should be made contingent on fulfillment of role requirements. Of course, it is obvious that principals have less control over rewards than many managers, and thus they are limited in how much can be accomplished with rewards. As for role clarity, the amount of guidance and direction needed depends in part on teacher competence, as mentioned earlier. According to the theory, need for role clarification also depends on the complexity of the task. The task of teaching is a complex, uncertain one without any consensus about the best procedures to use, therefore a principal with expertise in pedagogical practices should be able to improve teacher performance by providing some coaching and direction. The primary role of a principal is not to show a teacher how to teach, but to emphasize the importance of effective teaching and to provide opportunities for the teacher to obtain feedback and become involved in developmental experiences. However, for inexperienced teachers and others who seek advice, some coaching by the principal is appropriate. The coaching and counseling function should be carried out in a helpful, supportive, non-threatening manner, and the principal should act more like a professional consultant, "senior colleague", or mentor than like a "boss" (Warner, Houston & Cooper, 1977; Smyth, 1980).

House's Charismatic Leadership Theory goes beyond Path-Goal Theory in providing guidelines on how to motivate subordinates by appealing to their values and ideals, rather than by merely manipulating rewards and punishments. The potential for charismatic influence would appear to be greater for school principals than for most managers. Research suggests that a confident, persuasive principal with a clear vision of how to transform his or her school into an exceptional place has a better chance of winning teacher commitment to new policies and programs and inspiring extra effort to attain academic objectives (Brookover et al., 1979; Hall, Hord, & Griffin, 1980). Although there has not been much research on the inspirational tactics used by school principals, the theory suggests some that are likely to be effective. These tactics include presenting a vision of what can be in symbolic terms, setting challenging objectives, and building teacher confidence that they can attain these objectives. Some evidence exists that an effective principal communicates high expectations to teachers and students, models proper behavior, and demonstrates a personal commitment to the "realization of a particular educational or organizational vision" (Blumberg & Greenfield, 1980, p. 208). In addition to oral appeals and exhortations, successful innovation requires direct involvement of a principal in planning and implementing new policies and programs, such as by attending meetings, keeping informed about progress, showing concern, aiding in problem solving, and providing frequent support (Fullan, 1982; Herriott & Gross, 1979).

According to Yukl's Multiple Linkage Model, another important determinant of leader success is the extent to which the leader is able to organize the activities of subordinates to make the best use of available personnel, equipment, facilities, and resources. Although a principal is limited in how much change can be made in assignments and procedures, there is evidence that some improvements are usually possible. For example, planning routines for

getting required paperwork done helps to reduce pressure on teachers who would otherwise be overloaded with paperwork (Morris et al, 1981). Another determinant of performance according to the Multiple Linkage Model is the extent to which subordinates have the supplies and resources necessary to do the work effectively. Here again, evidence indicates that principals can contribute to the performance of teachers by facilitating distribution of textbooks and supplies, getting defective equipment repaired, obtaining necessary support services such as building maintenance, volunteer teachers, etc. (Morris et al., 1981). Finally, the distinction made in the Multiple-Linkage Model between short-term equilibrium restoring actions and longer-term innovations is somewhat comparable to the stabilizing-destabilizing dichotomy discussed by Morris et al. (1981). Both sources reiterate the important point that preoccupation with day-to-day firefighting by itself is unlikely to result in lasting improvements in organizational performance.

The Vroom-Yetton Model has a narrower focus than the other situational theories; it is concerned only with the appropriate degree of subordinate participation in decision making. The guidelines in this model appear to be just as applicable to principals as to other kinds of leaders. In general, the model suggests that most principals should allow a considerable amount of participation by teachers, particularly for decisions where teachers have important information and expertise. Whether initiated by the central office or the principal, major changes in curriculum, programs, or procedures are more likely to be accepted and implemented successfully if the principal consults with the teachers about the change, is open to modifications to meet their concerns, and recognizes the need for teachers to "develop their own sense of meaning in relation to the change" (Fullan, 1981).

Implications For Research on Principals

In general, there appeared to be considerable convergence in findings about leadership effectiveness for school principals and managers of business organizations. Many of the traits and skills found to be related to managerial success also appear relevant for principals, and the importance of exercising power skillfully appears to apply as much to principals as to managers. The activity pattern for principals shows the same characteristic brevity, variety, fragmentation, and fast pace found for most managers, even though some minor differences in interaction patterns are evident. Some of the situational theories of leadership provide insights into the reasons for the characteristic activity patterns and for the variation in behavior across situations. The situational theories taken together also provide clues about the types of leadership behavior most likely to be related to effectiveness of school principals. However, the leadership theories are in need of further validation and conceptual refinemens, so implications for principals are speculative rather than definitive. As is so often the case, there is a clear need for more and better research.

Basic research questions that need to be addressed include the following:

1. What traits and skills contribute most to a principal's effectiveness?
2. How are these traits related to the behavior of principals?
3. What aspects of the situation have the greatest influence on principal behavior and activity patterns?
4. How do principals find time to carry out essential functions requiring prolonged periods of planning and analysis?
5. How do principals bring about improvements in the satisfaction, effort, teamwork, involvement, and commitment of teachers and students?
6. What kinds of symbolic, ritualistic behavior do effective principals engage

in, and how is it related to effectiveness?

7. How do principals vary their behavior across subordinates and establish different kinds of relationships with different subordinates?
8. How do principals affect the climate of the school?
9. How do principals structure reward contingencies and reinforce desirable behavior by teachers and students?
10. How do effective principals accumulate and exercise power?
11. How do effective principals provide direction while still allowing teacher participation in decision making?
12. How do principals integrate the dual educational and administrative aspects of their roles and handle related role conflicts?
13. How do principals facilitate the professional development and skill acquisition of the teachers in their schools?
14. How do effective principals bring about change and innovation in their schools?
15. How do effective principals gain the support and cooperation of superiors and members of the outside community.
16. How do effective principals maintain order and minimize disruptions in their schools?
17. How can the selection of school principals be improved?
18. How can the training of school principals be improved?

Progress in research on school principals has been limited by the same kinds of methodological deficiencies common to research on managerial leadership. Researchers have relied too heavily on static correlational studies using data collected from fixed response questionnaires. More longitudinal, intensive research is needed, with multiple measures (e.g., questionnaires, observation, diaries, interviews). The recent study by Morris et al. (1981) demonstrates how observation and interviews can be skillfully combined to provide a wealth of useful information

about the behavior of principals. Intensive case studies such as the one by Wolcott (1973) should be replicated with a variety of different principals. Comparative case studies can be especially useful if there is some systematic variation of situation (e.g., urban versus suburban school, primary school versus secondary school). Findings should be checked for convergence with results from questionnaire research on large samples of principals representing a variety of school situations. In this way, the strengths of each kind of research methodology are used to compensate for the limitations of each approach. Finally, more effort should be made to integrate and utilize the knowledge and insights contained in the large literature in which principals report on their own experiences and ways of dealing with problems. If nothing else, this literature contains a rich source of hypotheses to be tested by more systematic research methods.

Implications For Selection and Training of Principals

Even though our knowledge about the determinants of principal effectiveness is still quite sketchy, some implications for improvement of principal effectiveness can be identified. As in the case of managers, the three general strategies for improving leadership in an organization are selection, training, and situational engineering (Yukl, 1981).

The results from the trait research suggest good possibilities for improving the selection of principals through use of more systematic assessment procedures. Assessment centers could be used to better advantage for selection of principals and assistant principals. Relevant traits and skills can be assessed by means of the types of projective tests, written tests, situational tests, and interviews commonly used in these centers in business organizations. School principals known to be effective could be asked to serve as assessors in these centers, just as managers serve on the staff of assessment centers in

large corporations. Assessment centers are an expensive selection device, but economies are possible by use of regional centers and rotating staffs.

Training and development of school principals is another promising approach for improving principal effectiveness. The success of this approach depends first on the identification of relevant technical, conceptual, and interpersonal skills to be developed in principals, and these skills tend to vary somewhat depending on the nature of the school situation (e.g., a large city high school versus a small elementary school in the suburbs). Success also depends on the selection of appropriate training methods. In the case of interpersonal skills, behavior modeling, role playing with videotaped feedback, and other experiential learning methods have been demonstrated to be more effective than the traditional lecture-discussion method (Latham & Saari, 1979; Goldstein & Sorcher, 1974; Smith, 1976; Wexley & Nemeroff, 1975). Some organizational development interventions such as survey feedback have been found to be useful in business organizations for providing performance feedback to leaders and identifying training needs (Bass, 1976; Hegarty, 1974; Huse, 1975; Nemeroff & Cosentino, 1979). More systematic training for the role of principal is possible for persons serving as assistant principals. This position should probably be treated as more of an internship with regular, structured feedback, instruction, and coaching by the school principal, aided if necessary by professional trainers from the district office or a regional center. There is probably also a need for greater emphasis on the responsibility of the district superintendent for monitoring the performance of principals and providing coaching and assistance when skill deficiencies are evident. The loosely-coupled nature of school systems may tend to obscure the responsibility of superintendents for taking an active role in subordinate development. Finally, there is need for much better leadership training in university programs of educational administration.

The least obvious of the strategies for improving principal effectiveness is situational engineering. This strategy consists of changing the leadership situation to make it more favorable for a manager or administrator. Some types of situational changes applicable to school principals include making more resources available to the principal, increasing the principal's discretion and authority to cut red tape and solve local school problems, insulating the principal better from disruptive outside interference, and giving the principal more control over rewards and punishments applicable to both teachers and pupils. Given the political realities of public schools and the problems of decreasing enrollment, diminishing budgets, increasing union militancy, and other adverse trends, it is doubtful that much can be done to improve the principal's situation or reduce role stress. Thus training and development in combination with better selection appear to be the most promising approaches for improving effectiveness of principals in the immediate future.

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